

ARS-425

Authorization to Apply For and Use Funds from Outside Sources

C Competitive Grants Proposals

C Trust Fund Agreement

C Reimbursable Agreements

Includes:

C Policy Memorandum, Northern Plains Area

C Memos from Dr. Dwayne Buxton, Deputy Administrator

“The Hoops” for Trust Fund and/or Reimbursable Cooperative Agreements Hoops (for incoming funds only)

Program questions/issues:

Jim Quaratino, Authorized Departmental Officer; (970)229-5529 or Jim.Quaratino@ars.usda.gov

ARIS process:

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What is a Trust? ARS is paid in advance to conduct research.

What is a Reimbursable? ARS performs the work first, and then gets paid (**reimbursed**) by the Cooperator when billed/invoiced by ARS for work already completed.

What is common to both a Trust and a Reimbursable Cooperative Agreement? Under both types of agreements:

- C All parties must mutually contribute resources to the effort.
- C Mutual interest in the agreement’s objective must be specifically stated.

The ARS-425 form in ARIS is the mechanism used to request approval to accept outside funds into ARS from another Federal agency, a For-Profit company, or a Non-Profit organization.

Policy Information:

ARS may enter into Trust and Reimbursable Cooperative Agreements with other Federal agencies, States, local governments, private firms, institutions, and individuals and receive funds or other resources for conducting research and service work, making or compiling surveys and reports, and carrying out other related activities when the work:

- C Supports the mission of ARS.
- C Is of mutual interest to ARS and the outside source of funds or other resources.
- C Supplements without detracting from the programs of the scientist and the unit performing the work.
- C Is related to the expertise and assignment of the individual(s) performing the work.
- C Does not interfere with the work assigned by ARS to the unit and individual(s) performing the work.
- C Is approved through the ARS-425 process in ARIS **before** a proposal is submitted to a potential source of outside funds or other resources.
- C Is fully documented and tracked with respect to:
 - C the work and the funds or other resources as required by ARS and
 - C the source of outside funds or other resources

TIP: ALWAYS DO THE ARS-425 ENTRY FIRST (before doing anything else).

- C **Competitive Grant Proposals, Trust Funds, and Reimbursable Agreements will always require an ARS-425 be entered into ARIS.**
- C Please refer to the 425's Create and/or 425's Modify sections in the ARIS On-line Manual (<http://www.npstaf.ars.usda.gov>)

IMPORTANT INFORMATION: Funds are **NOT** available for use until all ARS actions are completed by all parties to the agreement. If, for some reason, the company or organization has sent a payment check directly to the scientist or location, please forward it to Jim immediately.

IPSC Waiver Request information for the ARS-425: IPSC (Indirect Program Support Costs)

- C Refer to ARS Policies and Procedures 329.5, dated 08/12/94; Bulletin 98-306, dated 10/01/98 for IPSC information.
- C Page 4 provides the language required when entering an IPSC waiver request into ARIS.
- C Contact Jim or Marcie for assistance when entering waiver request information.

The Unit secretary will need to create a new ARS-425 in the ARIS system.

- C **If the agreement is equal to or less than \$25,000**, then only an ARS-425 is needed in ARIS.
- C **If the agreement is for more than \$25,000:** (Step 1) do the ARS-425 first; and (Step 2) add the ARS-416/417 to the ARS-425. (Please contact Jim or Marcie for unique or special circumstances on adding the ARS-416/417).

The following information is needed to add an ARS-425 into ARIS: (REMINDER—the ARS-425 is always entered into ARIS first).

- C Source of Funds—name of the company or organization which is giving ARS the money.
- C Remarks—limited to four lines so be brief. Explain anything that might be unique or special about the project.
- C The start and end dates for the agreement.
- C How the funds are to be used: be sure to break down the fund distribution for the secretary. Choose from the following categories for fund distribution: Other Federal salaries; Supplies; Equipment; RSA; Travel; and Other Costs (Other Costs category can include IPSC; publication; computer; SCA funds; etc.—anything that doesn't fit into one of the above categories).
- C Title of the Proposal.
- C Type of work to be completed: Explain what ARS will be doing in exchange for receiving the funds—in other words, what is ARS delivering to the company or organization.
- C If any of the funds being received into ARS are going to be given OUT to another entity (such as a university) to assist with the project, then provide an explanation as to why ARS will give these funds out.
- C The scientist and RL should review the ARS-425 entry. Once RL approval is received, the secretary enters the electronic signature and releases it to the LD or CD level, or directly to the Area Office level.

VERY IMPORTANT: Once the scientist has reasonable assurance an award will be made, the unit secretary needs to be informed. The unit secretary needs to **IMMEDIATELY add the ARS-416/417 to the existing ARS-425 in the ARIS system.** (The add of the ARS-416/417 will be required only if the Grant, Trust Fund, or Reimbursable agreement is for \$25,000 or more)

Information/process for the scientist to provide to the secretary to create the 416/417 to add to the ARS-425 for a “T” or “R” CRIS Project:

- C Obtain the template for an ARS-425 and/or ARS-416/417 from the Unit ARIS User.
- C The project will need a Title, Objective, Approach, Keywords, etc.
- C Refer to the “D” CRIS project this “T” (Trust) or “R” (Reimbursable) will be tied to for information on the codes, (such as STP, Subject of Investigation (SOI), activity and commodity codes, etc.).
- C How long will the project will run? (Five years maximum).
- C Don't worry about assigning an agreement number, Jim will do that when the ARIS work is received from the Unit.

Summary of the steps required to establish a Trust Fund (or Reimbursable) Cooperative Agreement. These are the steps that should occur, and the order in which they should occur:

1. Prepare an ARS-425 first, and then add the ARS-416/417 (needed only when the dollar amount is for \$25,000 or more)
2. Prepare the Statement of Work and send it to Jim via E-mail to reduce the turn-around time. He can review the information and discuss any items of concern with the scientist and/or Unit secretary. Contact Jim or Marcie for examples of Statements of Work (SOW) if you are not familiar with what is needed, or are unsure of the appropriate format. It will save the Unit time, and will help streamline the entire process.
3. Send Jim any letters, copies of E-mail correspondence, etc., the scientist has had with the company or organization. These usually contain details on what the company or organization is agreeing to, as well as contact information for the NPA Extramural Agreements Section.
4. Once Jim has received notice that the ARIS portion has been approved by HQ, and provided he has received the Statement of Work: the entire agreement package is prepared and sent to the company or organization for their acceptance and signature.

ARS Unit information:

- C When the agreement package is sent to the company/organization for their signature we will send a cc of the cover memo to the scientist, LAO, and Unit secretary.
- C A copy of the fully executed agreement is sent to the Unit for their files after all signatures are in place.